Using Financial Disclosure Management (FDM) 450

These slides: https://www.fdm.army.mil/PM_Reference_Docs/UsingFDM450.ppt

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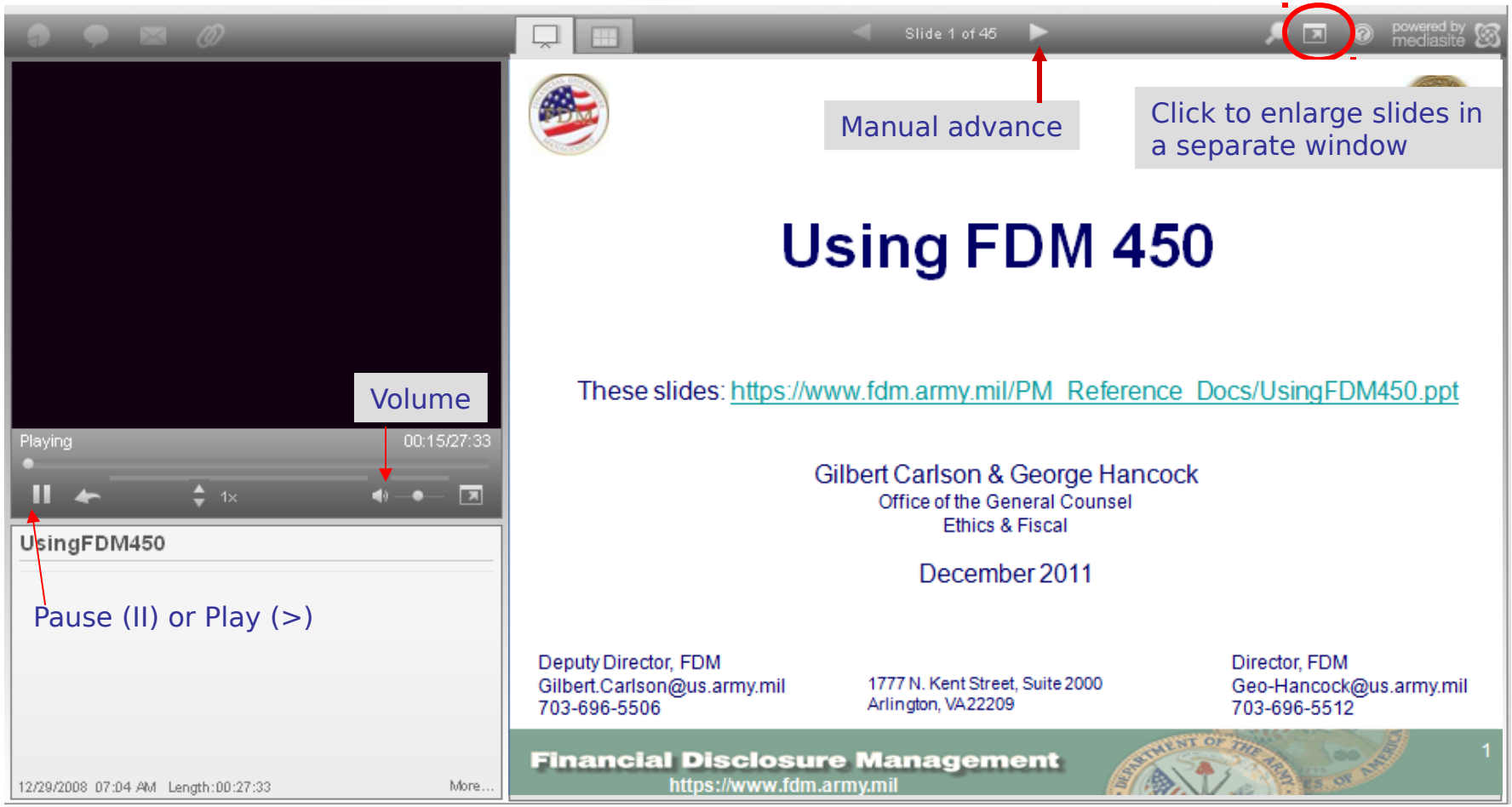
Online Presentation Controls

The presentation will open once the link is clicked and it will self-run. Turn speakers on to hear narration.



Topics

- Getting Started
- Key Tasks in 3 areas
  - Administration
  - Pre-Annual Filing Season (before 30 Dec)
    - Review existing FDRs in FDM 450
    - Remove unneeded “Assigned, Not Started”
  - Season Start (early Jan) – Remind Filers to File
  - Post Annual Filing Deadline (15 Feb) – Remind Late Filers
  - Registering New FDM Users – Assign OGE 450
- Report Processing & Reviews
- Ethics Training for Filers in 2012
- FDM 450 Certifier Success Score

Getting Started

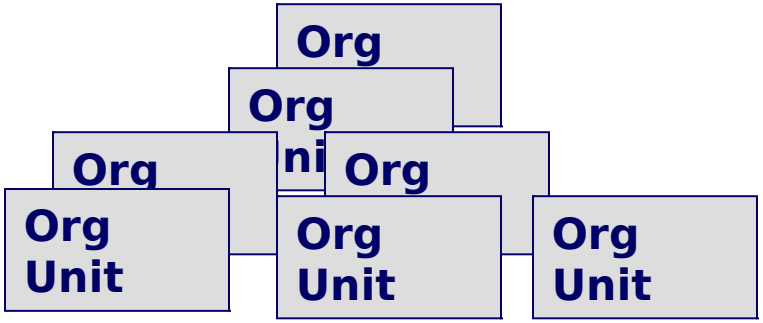
- Take the short, narrated FDM web site tour: https://www.fdm.army.mil/PM_Reference_Docs/GCFDMIntro/GCIntro.html
  -
- Read the FDM 450 Certifier Quick Start [*updated*]
  - Review the 450 Certifier Readiness Checklist [*new*]
  - Read the FDM 450 Certifier Frequent Task How to Guide, https://www.fdm.army.mil/PM_Reference_Docs/450CertifierFDMTasks.doc
- Scan the FDM 450 Resources area: https://www.fdm.army.mil/helpSupport/resources.htm
- Scan the FDM 450 SOP & FDM 450 User Guide
- Key Features
  - Filers– https://www.fdm.army.mil/documents/ORC_Key_Features_Filers.pdf
  - Reviewers– https://www.fdm.army.mil/documents/ORC_Key_Features_Reviewers.pdf
- FDM Release Notes

Key FDM 450 User Roles

- **450 Certifier** – local approving authority for OGE 450
  - 450 Certifier EC – the 450 Certifier appoints EC (**My Info | My ECs** tab) to assist in reviewing OGE 450s
  - 450 Assistant – often Ethics paralegal who "screens" reports; assists manage organization use (**My Info | My Assistants** tab)
- **POC** – organization point of contact (POC) for managing organization's OGE 450 filers/supervisors in FDM; supports 450 Certifier
- **Supervisor** – Filer's Supervisor (Joint Ethics Regulation (JER) requires Supervisor review the financial disclosure)
- **Filer** – files an OGE 450
  - **Filer Assistant** – optional; may draft Filer's report; cannot eSign for Filer; cannot amend for Filer

- **SLC** – Senior Legal Counsel (e.g., General Counsel, Staff Judge Advocate) at Command, organization
  - **SLC EC** – Ethics Counselor (e.g., often an additional duty for a member of OSJA)
  - Appoints 450 Certifier for Org Unit (**Admin | 450 Certifier** tab)

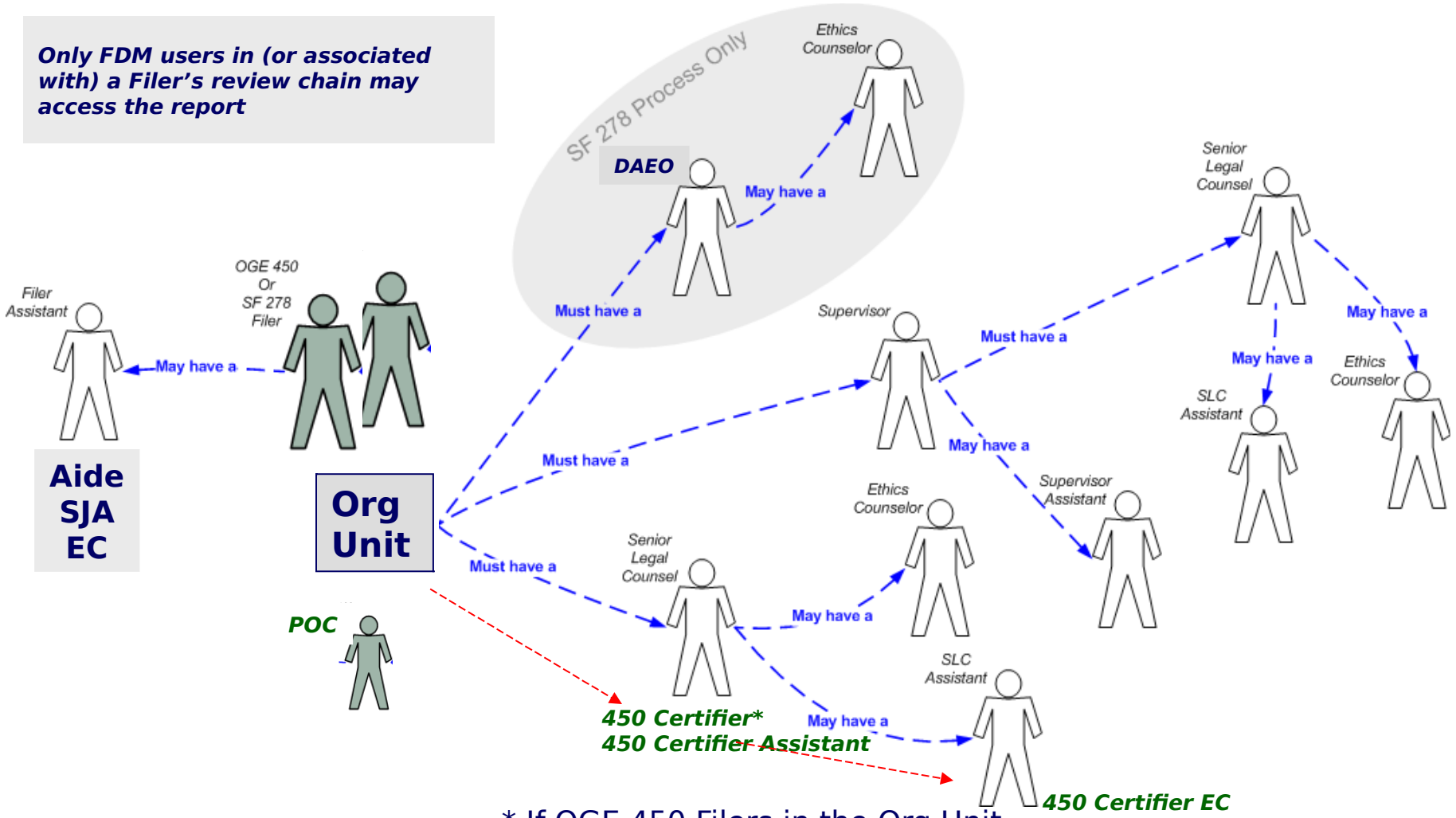
“Org Units”



- Org Unit hierarchically connects:
  - Filer
  - Reviewer/Supervisor
  - Other Reviewer (Legal Advisor FDM 278)
  - Certifier (450 Certifier; DAEO (278s))
  - Org Unit POC (assists with registering/managing Filers, updating departed Supervisors, and org units)

Role & Relationships to Filers via Org Unit

Only FDM users in (or associated with) a Filer's review chain may access the report



* If OGE 450 Filers in the Org Unit

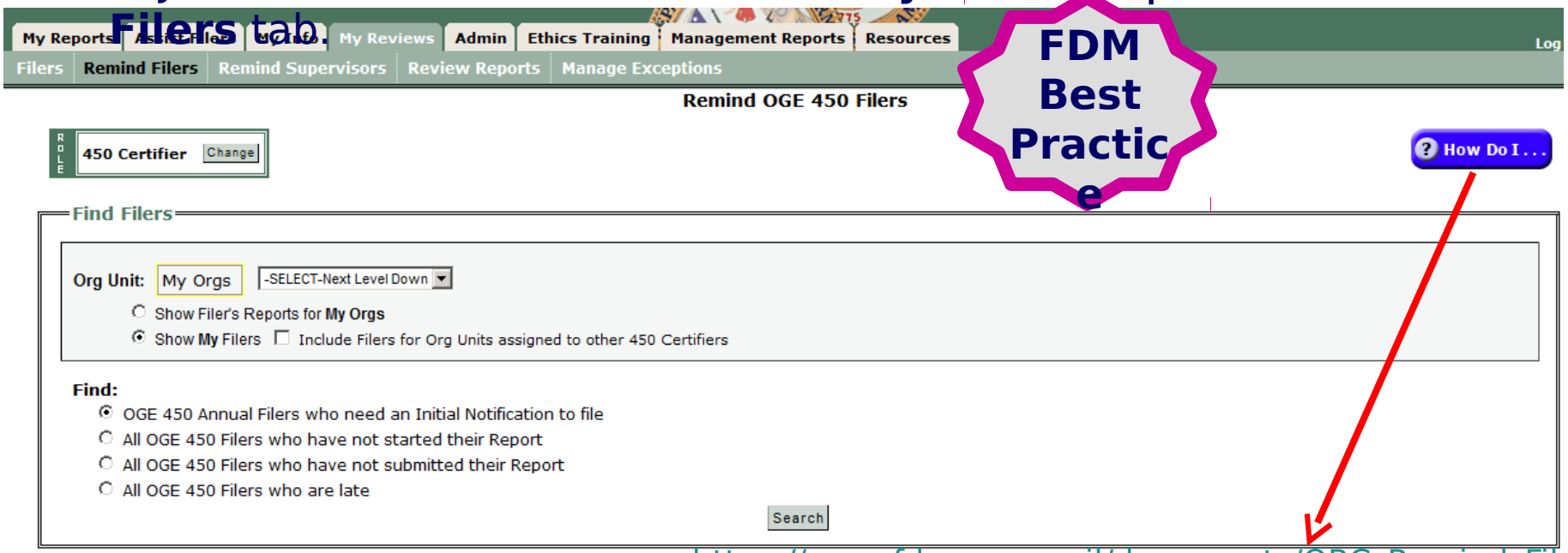
Tasks

- Pre-Annual Filing Season Preparations
  - Are you the 450 Certifier for the right Org Unit(s) (or a higher level Org Unit)?
  - [*Optional*] Are Org Unit POCs in place to assist?
  - Are the Supervisors shown for your Org Units correct?
  - Are the Filers shown correct?
  - Are there any pending OGE 450 Financial Disclosure Reports (FDRs)?
    - **My Reviews | Review Reports** & **My Reviews | Manage Exceptions**
  - Are there old unneeded "Assigned, not started" reports?
- Remind Users
  - Initial Notice to Filers to File (Jan)
  - Reminder Notice to Filers – Unstarted by mid or late Jan
  - Remind Supervisors - starting the last week of Jan
- Review Reports
  - "Technical Screening Review" w/in 60 days of Filer's eSign
  - "End Initial Review" (report's Review Status screen) to record review
  - Open Note on reports needing additional information/attention (Manage Exceptions tab – a temporary *Watch List*)

Resources: updated FDM 450 EC User Guide & 450 Certifier Quick Start:
https://www.fdm.army.mil/helpSupport/resources.htm

450 "Annual" Report Assignment

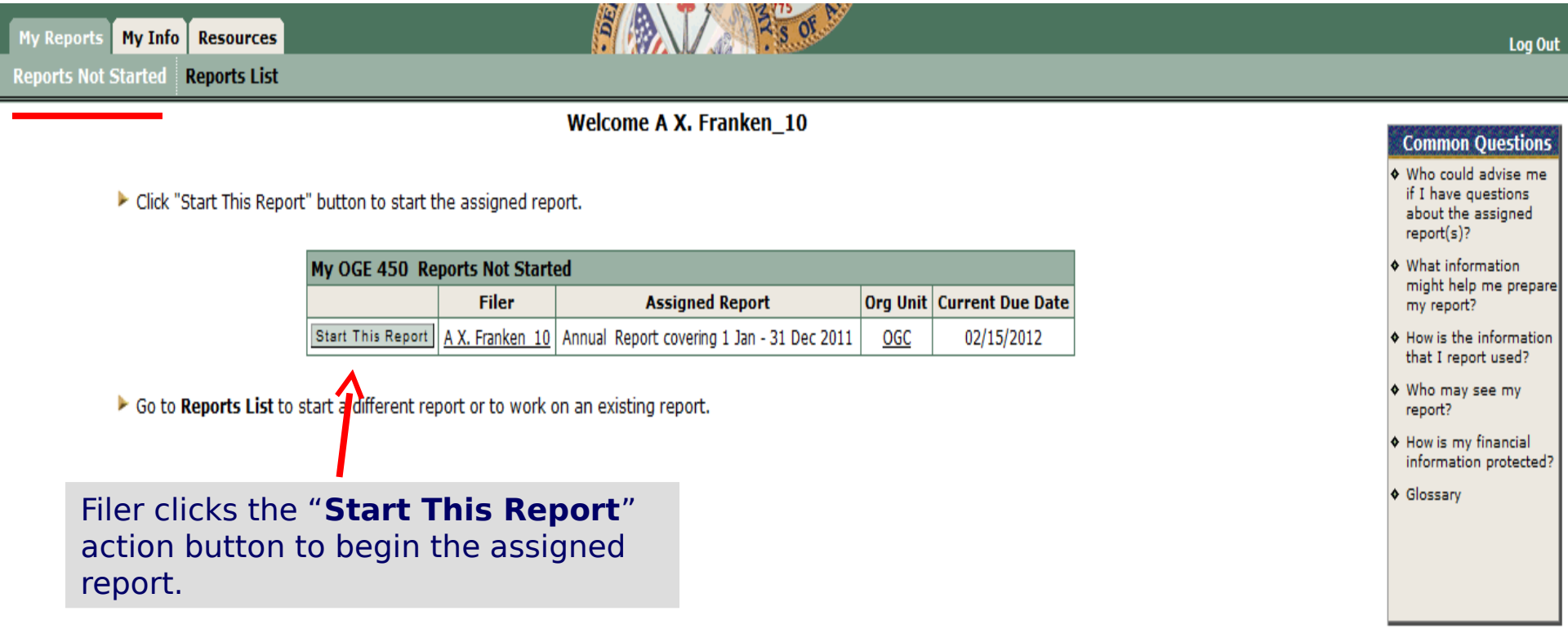
- 1 Jan – FDM-registered OGE 450 Filers will have an Annual report assigned ***except***:
  - Filers who had filer role deleted before 31 Dec
  - 2011 "New Entrant Filers who had an appointment date on/after 2 Nov 2011 (they will not have served over 60 days in CY11 so no Annual report due in Feb 2012)
- In Jan, "Remind Filers" to file on the **My Reviews | Remind Filers** tab



https://www.fdm.army.mil/documents/QRC_Remind_Filers f

450 "Annual" Report Assignment

- OGE 450 Filer will see a "**Reports Not Started**" tab to start the "assigned report" after login


My Reports
My Info
Resources
Log Out
Reports Not Started
Reports List
Welcome A X. Franken_10
Click "Start This Report" button to start the assigned report.
My OGE 450 Reports Not Started
Filer
Assigned Report
Org Unit
Current Due Date
Start This Report
A X. Franken_10
Annual Report covering 1 Jan - 31 Dec 2011
OGC
02/15/2012
Go to Reports List to start a different report or to work on an existing report.
Common Questions
Who could advise me if I have questions about the assigned report(s)?
What information might help me prepare my report?
How is the information that I report used?
Who may see my report?
How is my financial information protected?
Glossary

Filer clicks the "**Start This Report**" action button to begin the assigned report.

Unfinished FDM 450s

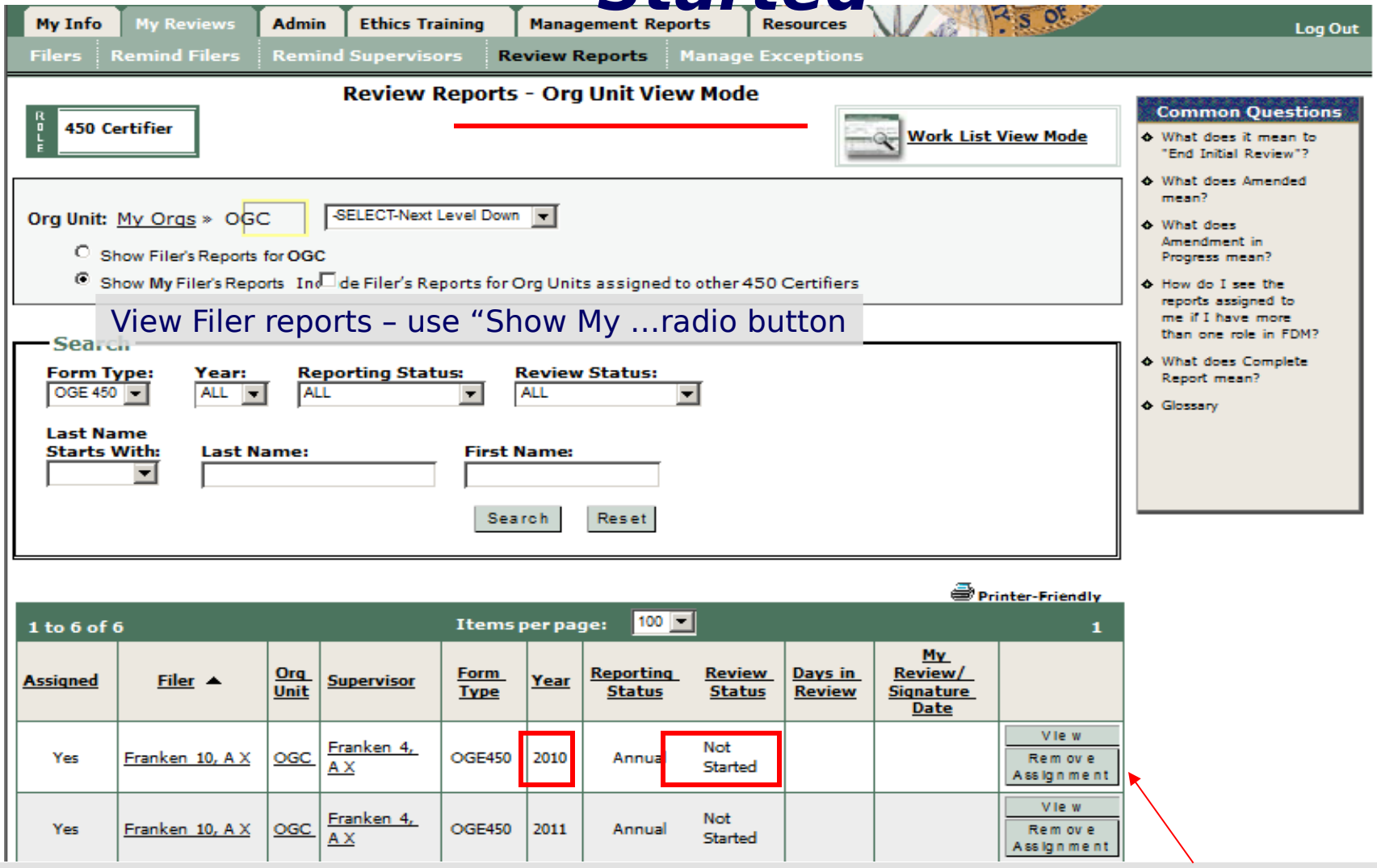
- **My Reviews | Review Reports** – *Org Unit View Mode*

Show reports for OGE 450 Filers where I am the 450 Certifier

"**Search**" Will show reports for all years and whether in Draft, Under Review, or Complete when "ALL" is used.

Watch a short video tutorial on reviewing an OGE 450 in FDM 450: https://www.fdm.army.mil/documents/FDM_REVIEWING_AN_OGE_450_53_FOR_WEBSITE/Reviewing_an_OGE_450_TOC.html ; view a printable quick reference: https://www.fdm.army.mil/documents/ORC_Reviewing_an_OGE450.pdf.

Remove Unneeded Assigned, Not Started



Review your OGE 450 Filers for any assigned, Not Started reports. Use "**Remove Assignment**" to delete the assigned task or Filer will see it on the Reports Not Started tab when logging in to FDM. That may confuse Filer to file CY09 FDR (an FDM 2010) instead of the CY10 FDR (an FDM 2011).

450 Certifiers & Certifier ECs

- Org Unit SLC (and higher level) may remove/assign 450 Certifiers (**Admin | 450 Certifier** tab)
- An appointed 450 Certifier may appoint
  - an Ethics Counselor to assist certifying OGE 450s – "450 Certifier EC" (**My Info | My ECs** tab)
  - a 450 Certifier Assistant (often a paralegal) to assist in coordinating with Org Unit POCs (**My Info | My Assistants** tab)
  - Add Org Uni **OCs**)

References/Resources:
- FDM 450 Certifier Quick Start
- Updated Certifier User Guide

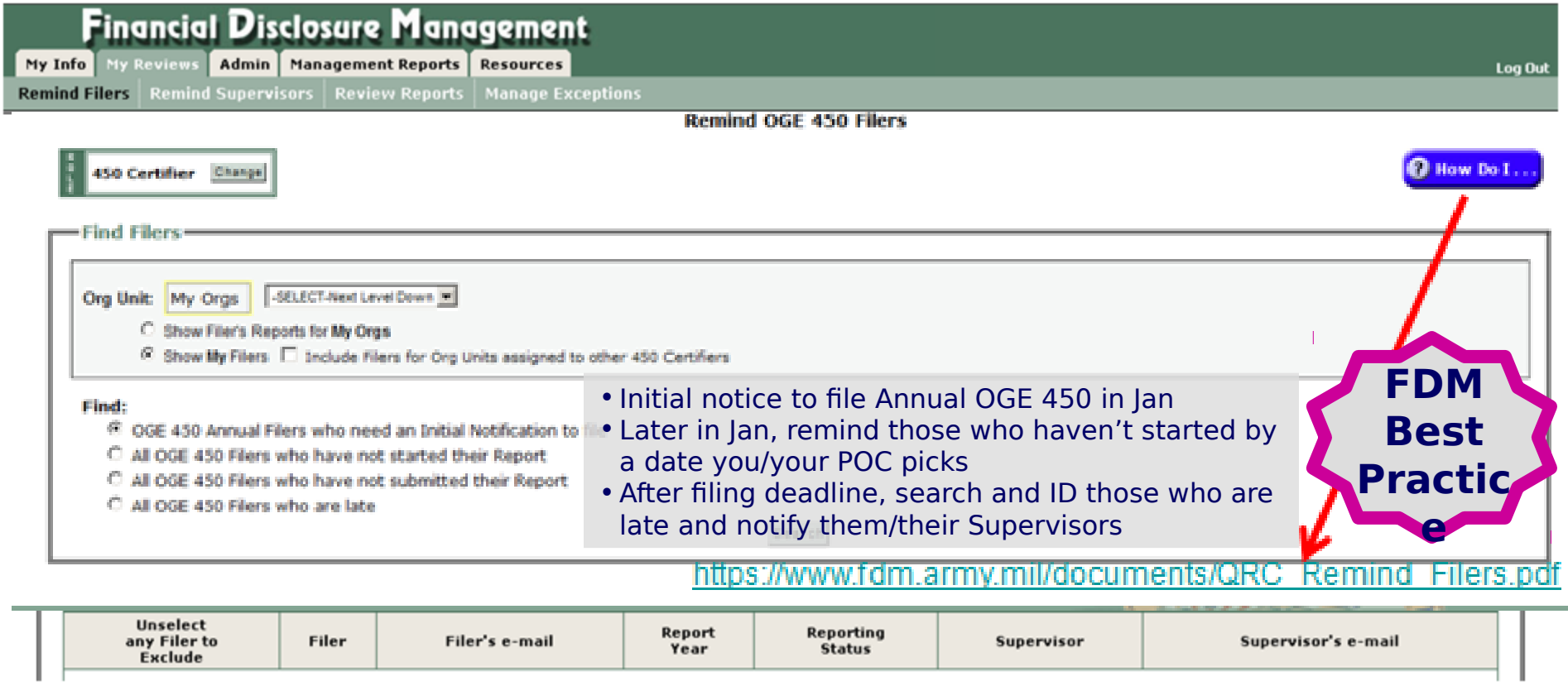
Add 450 Certifier Assistant

My Info | My Assistants

- As 450 Certifier, you may add a 450 Certifier Assistant (e.g., legal office paralegal) to assist you
  - register/update POCs
  - notify POCs
  - notify Filers to file
  - remind Supervisors to Review
  - “Screen” the OGE 450 (*End Initial Review*)

My Reviews | Remind Filers

- Notify to file using FDM (Jan) (**My Reviews | Remind Filers** tab)


Financial Disclosure Management
My Info
My Reviews
Admin
Management Reports
Resources
Log Out
Remind Filers
Remind Supervisors
Review Reports
Manage Exceptions
Remind OGE 450 Filers
450 Certifier
Change
How Do I . . .
Find Filers
Org Unit:
My Orgs
-SELECT-Next Level Down
Show Filer's Reports for My Orgs
Show My Filers
Include Filers for Org Units assigned to other 450 Certifiers
Find:
OGE 450 Annual Filers who need an Initial Notification to
All OGE 450 Filers who have not started their Report
All OGE 450 Filers who have not submitted their Report
All OGE 450 Filers who are late
• Initial notice to file Annual OGE 450 in Jan
• Later in Jan, remind those who haven't started by a date you/your POC picks
• After filing deadline, search and ID those who are late and notify them/their Supervisors
FDM Best Practice
https://www.fdm.army.mil/documents/QRC_Remind_Filers.pdf
Unselect any Filer to Exclude
Filer
Filer's e-mail
Report Year
Reporting Status
Supervisor
Supervisor's e-mail

In your notice you might want to mention the OGE 450 Filer Quick Start, https://www.fdm.army.mil/documents/450FilerQuickStart.doc

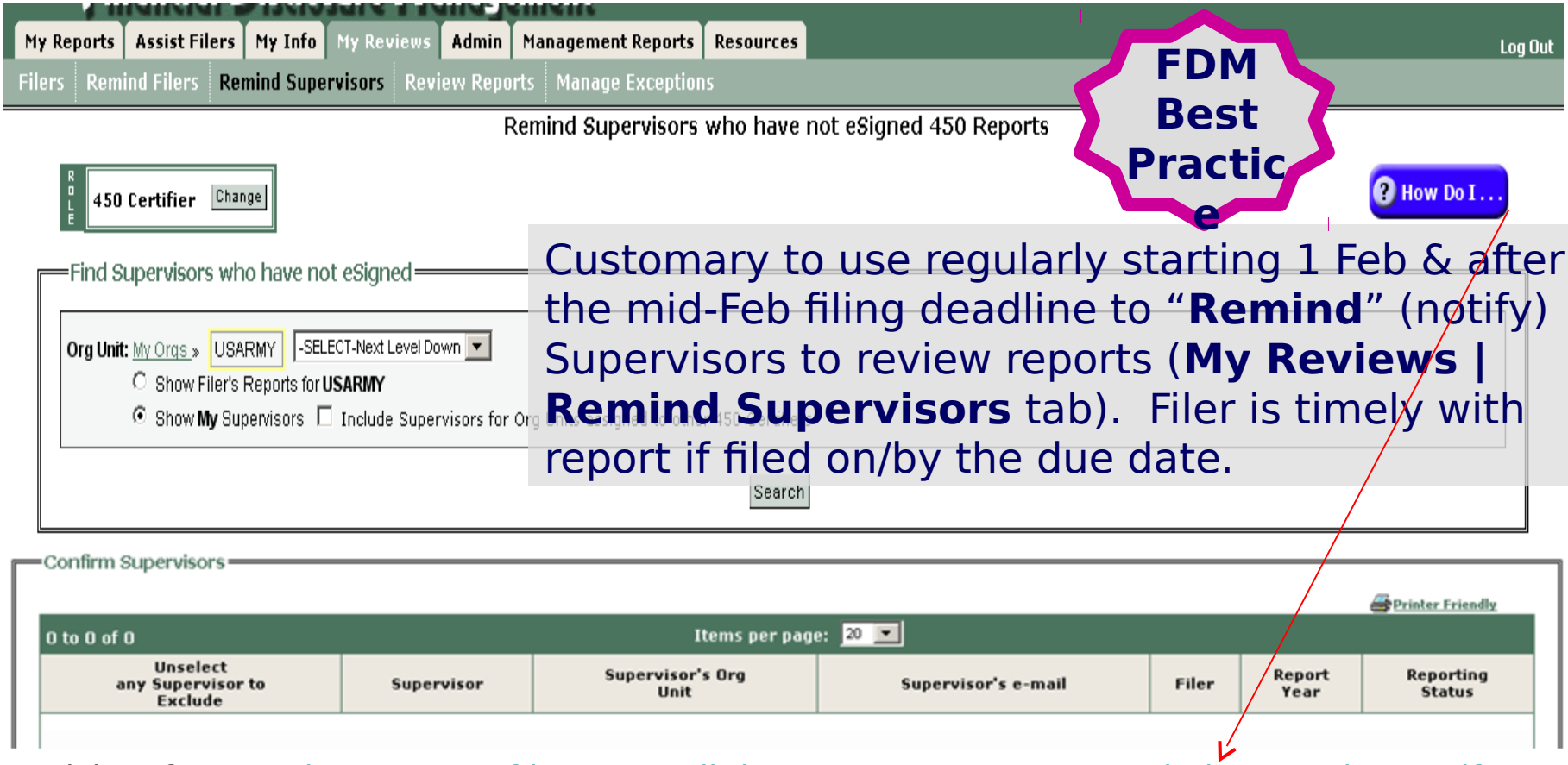
Filer

- Common Access Card (CAC)/PIN access*
- Main work space: **My Reports** tab; Reports Not Started
- Filer is timely if filed on/by the due date.
- May add Filer Assistant to draft report (**My Info | My Assistants** tab)
- May print a report starting on My Reports, View the report, click View/Print tab, click View/Print
- Help available:
  - Video tutorial/Quick Reference – Filing an OGE 450 https://www.fdm.army.mil/documents/Filing_OGE_450_For_Website/Filing_an_OGE_450_Report.html
  - Filer Quick Start - https://www.fdm.army.mil/documents/450FilerQuickStart.doc
  - Legal Advisor for report content
  - FDM Service Center
    - Telephone: (443) 861.8679, DSN 848.8679 (8:00 a.m. – 5:00 p.m. Eastern M-F (during filing season))
    - Email: CELCMCFDMSupport@mail1.monmouth.army.mil
  - FDM 450/278 User Guides for Legal Staff

*Army Knowledge Online user access available

My Reviews | Remind Supervisors

- Notify Supervisors to review using FDM (**My Reviews | Remind Supervisors** tab)



Customary to use regularly starting 1 Feb & after the mid-Feb filing deadline to "**Remind**" (notify) Supervisors to review reports (**My Reviews | Remind Supervisors** tab). Filer is timely with report if filed on/by the due date.

Quick Reference: https://www.fdm.army.mil/documents/FDM_QRC_Remind_Supervisors.pdf

Organization Points of Contact (POCs)

- Review your POCs (**Admin | POCs** tab)
  - Delete departed POC
  - Assign successor POC
- Orient New POCs
  - POC User Guide – narrated tutorial: https://www.fdm.army.mil/documents/POC_Basic_User_Guide_Tutorial_for_Website/POC_Basic_User_Guide_TOC.html
  - POC Quick Start – https://www.fdm.army.mil/documents/450POCQuickStart.doc
- Annual Filing Season Update (FDM Resources tab: https://www.fdm.army.mil/helpSupport/resources.html)
  - *POC Quick Start*
  - 450 Certifier User Guide (updated annually)

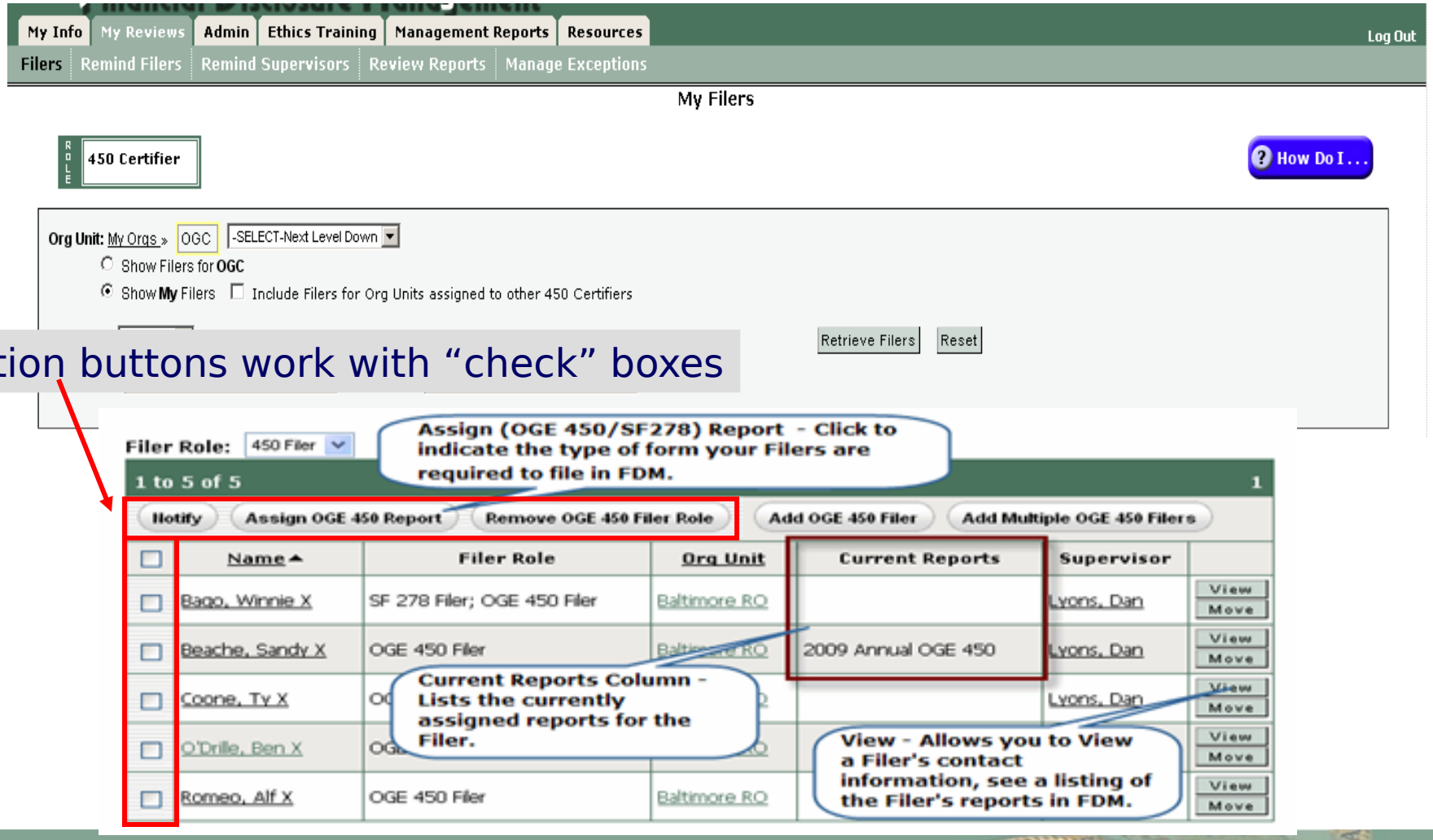
Filers

- New Filers:
  - Register/add new Filer(s) to the Org Unit of the Filer's Supervisor
  - Assign the report (likely a New Entrant for first-time Filer (someone who moves directly from one covered position to another files an Annual once a year, not a New Entrant))
  - Register the Filer-Supervisor user as a Supervisor first to establish the correct certifier then register as a Filer in that same Org Unit. (FDM will look to next higher level for reviewing Supervisor.)
- Current Filers:
  - Review Filer list (**My Reviews | Filers** or **Admin | Filers** tabs)
    - Remove retired/separated Filer(s) and any abandoned Assigned, Not Started reports
    - Move departed to another org unit if PCS'd (move limited to "your" org units based on your role/connection to the org unit(s)) [*as necessary* contact FDM Service Center for move assist]

References/Resources:
- Tutorial – Managing Filers; Managing Org Units
- Quick Reference Cards – Managing Filers; Managing Org Units
- Certifier User Guide

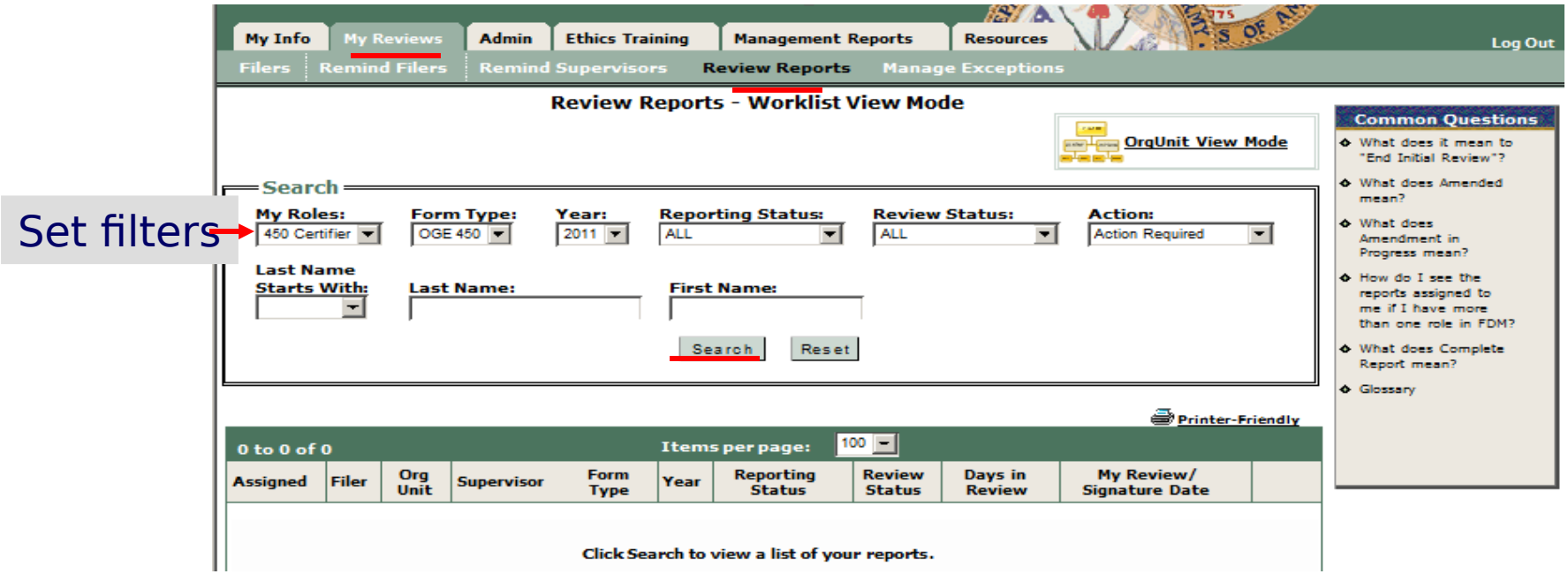
My Reviews | Filers Tab

This tab shows information about Filers and their reports.



Review Reports

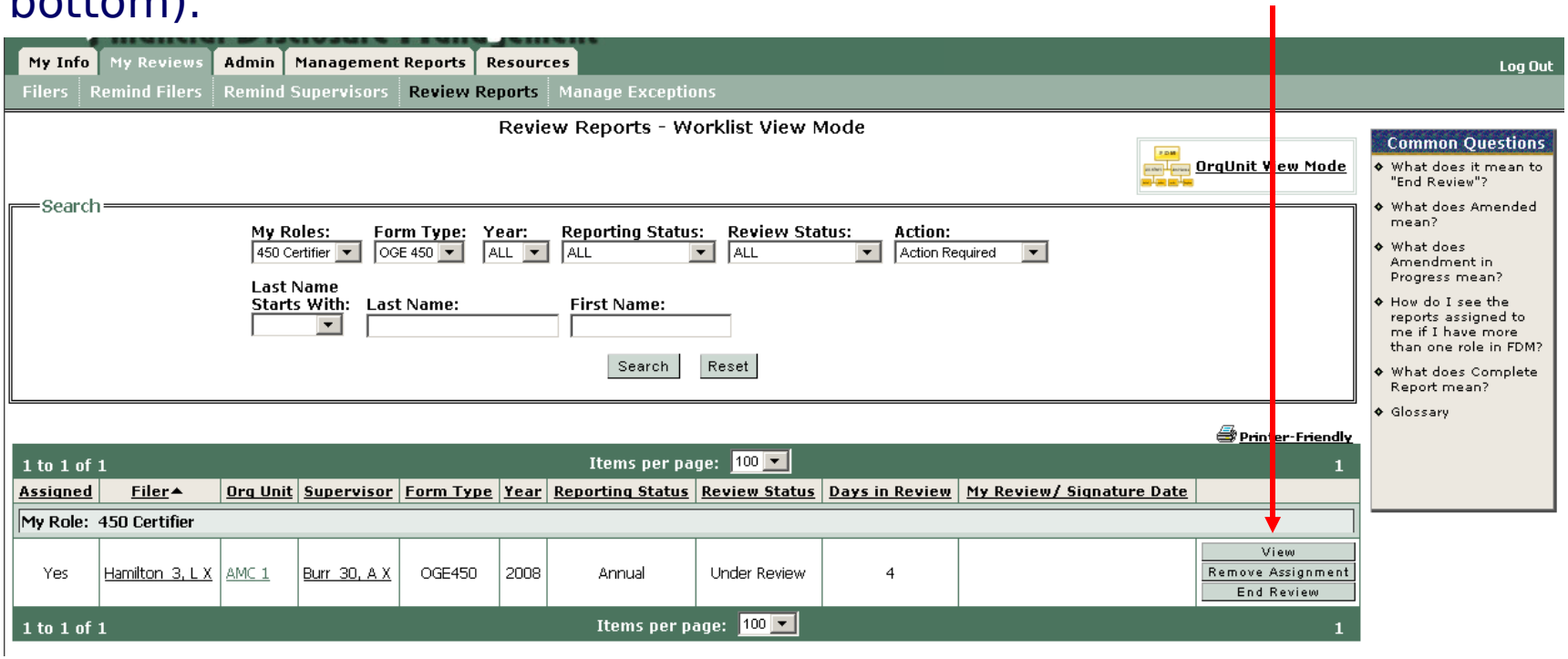
- Review Reports (**My Reviews | Review Reports – Worklist**)
  - eSign & Complete those ready
  - Timely “End Initial Review” for those reviewed, but not ready for completion.



- Also check the **My Reviews | Manage Exceptions** tab

Review OGE 450s

- Click **View** to review that OGE 450 (in the Search result table at the bottom).



- FDM Learning Center, https://www.fdm.army.mil/learningCenter/learningCenter.htm, has a tutorial and Quick Reference Card on reviewing an OGE 450.
- Check the FDM 450 User Guide & SOP for *substantive* checklists https://www.fdm.army.mil/helpSupport/resources.htm.

Review Filer's Report

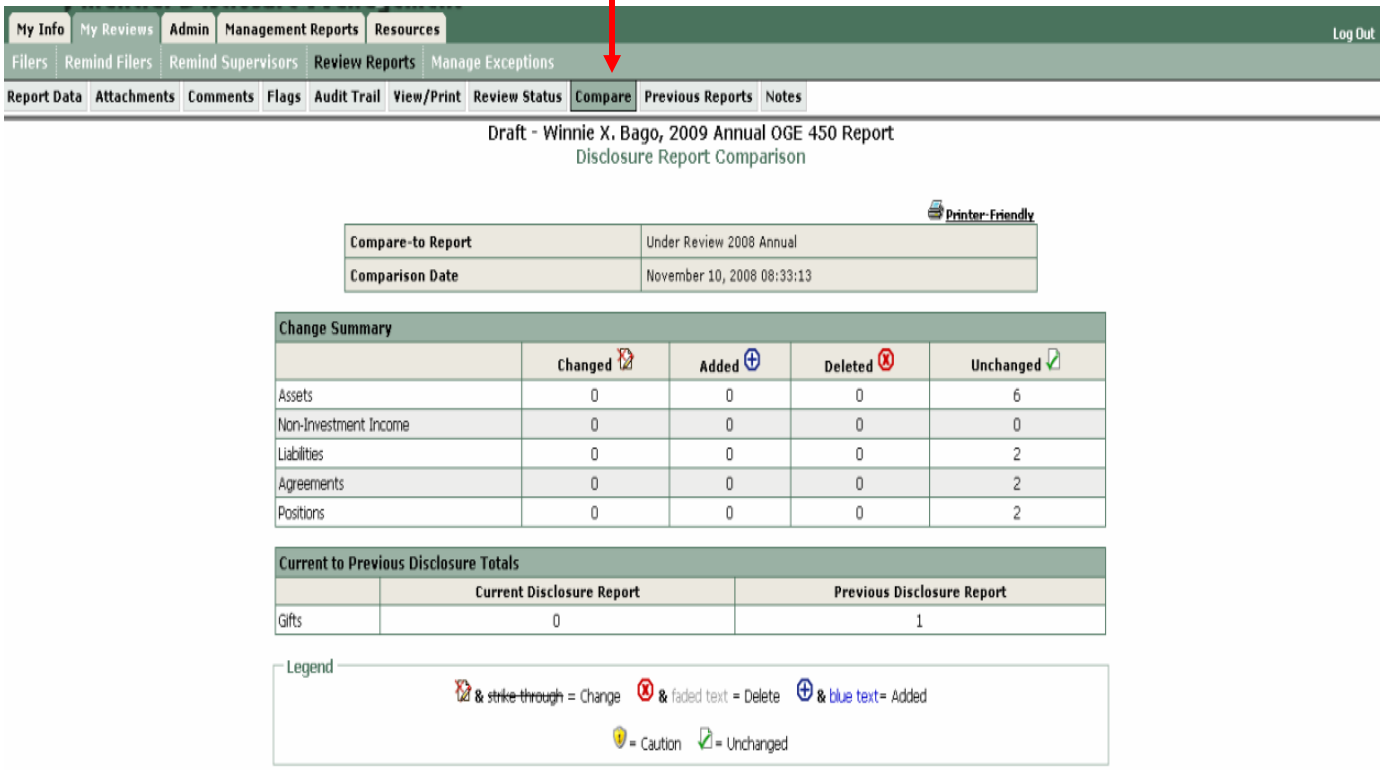
After picking a Filer's report to review, most 450 Certifiers (or Certifier Assistants) first will select ***Flags*** and ***Comment*** Tabs to confirm there are no Flags or Comments needing attention/resolution then proceed to review ***Report Data***.

- View the Demo, *Reviewing an OGE 450*, Narrated: https://www.fdm.army.mil/PM_Reference_Docs/450F/450F.html
  Slides: https://www.fdm.army.mil/PM_Reference_Docs/Demo450Filer.ppt
- Watch the short video, *Reviewing an OGE 450*, https://www.fdm.army.mil/Documents/Reviewing_OGE_450_Report_For_Website/Reviewing_an_OGE_450_Report.html
  . The FDM Learning Center | Documentation includes a Quick Reference, *QRC Reviewing an OGE 450*.
- Check the FDM 450 SOP, https://www.fdm.army.mil/documents/450SOPFDM.doc, for a review checklist

Review OGE 450s

FDM Best Practice

- Compare
  - Summary table, then scrollable page highlighting changes between Filer's reports section-by-section
  - Quick view of what changed to help you focus on Conflict of Interest

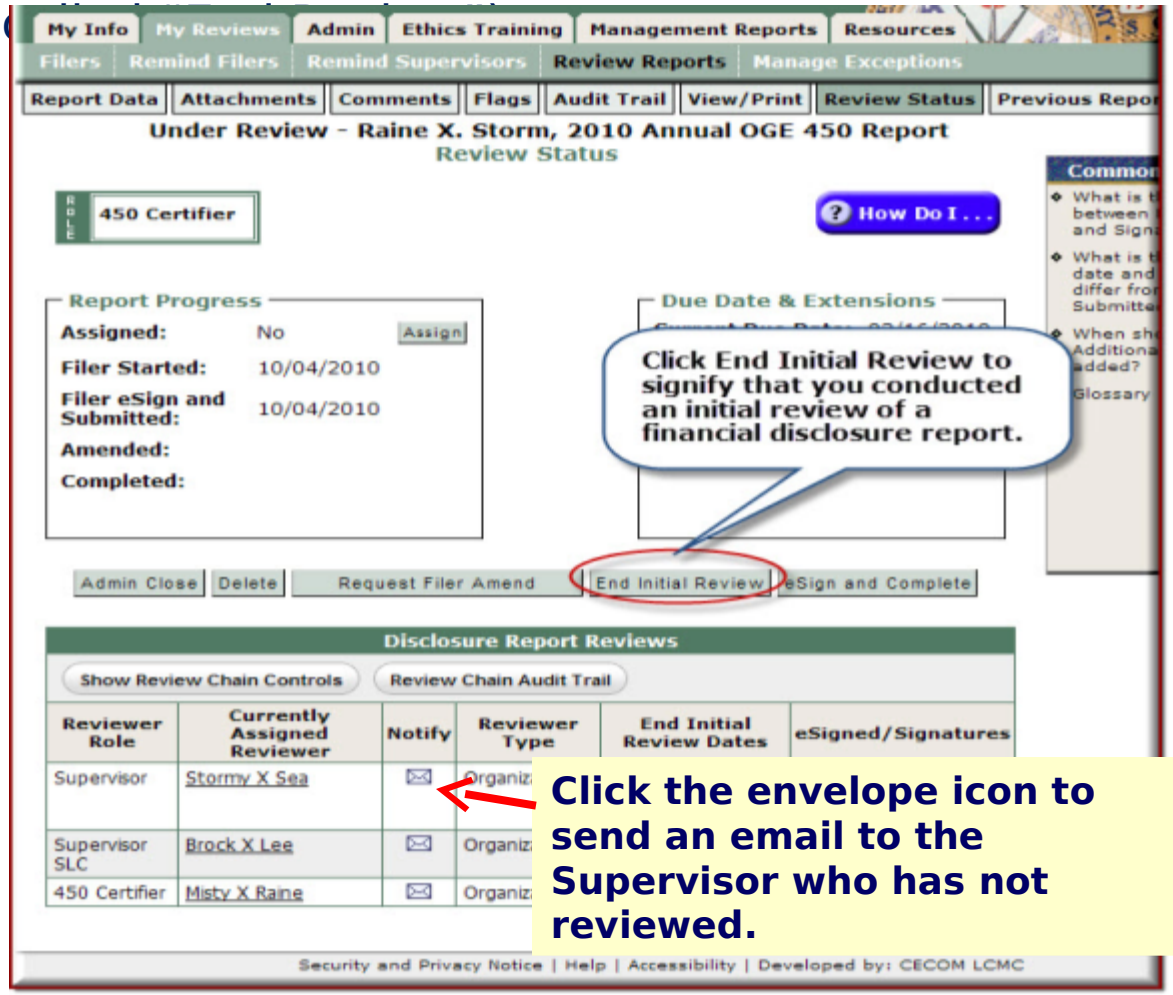


End Initial Review

"Review Status" screen has a new action button: *"End Initial Review"* (formerly

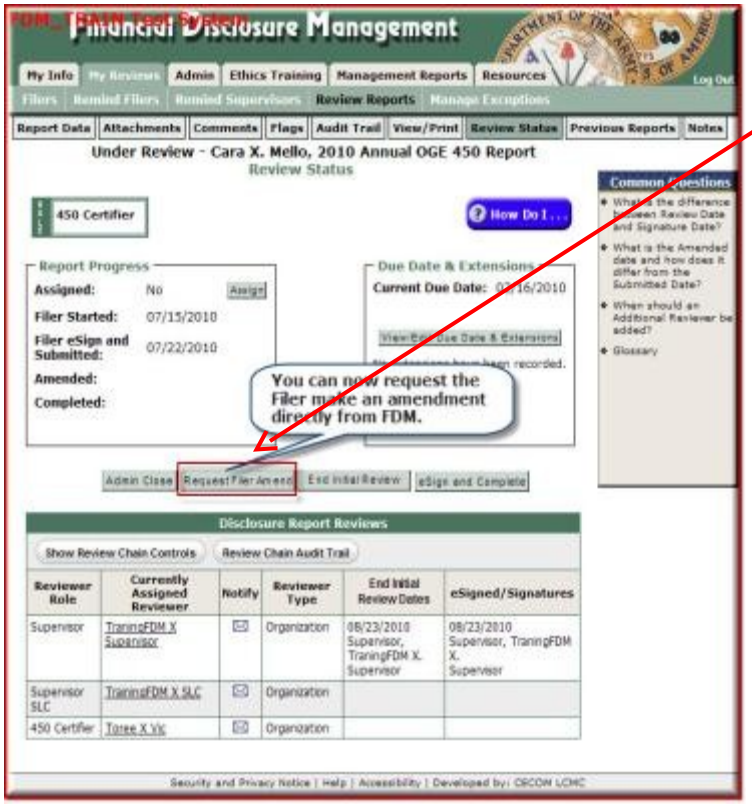
FDM Best Practice

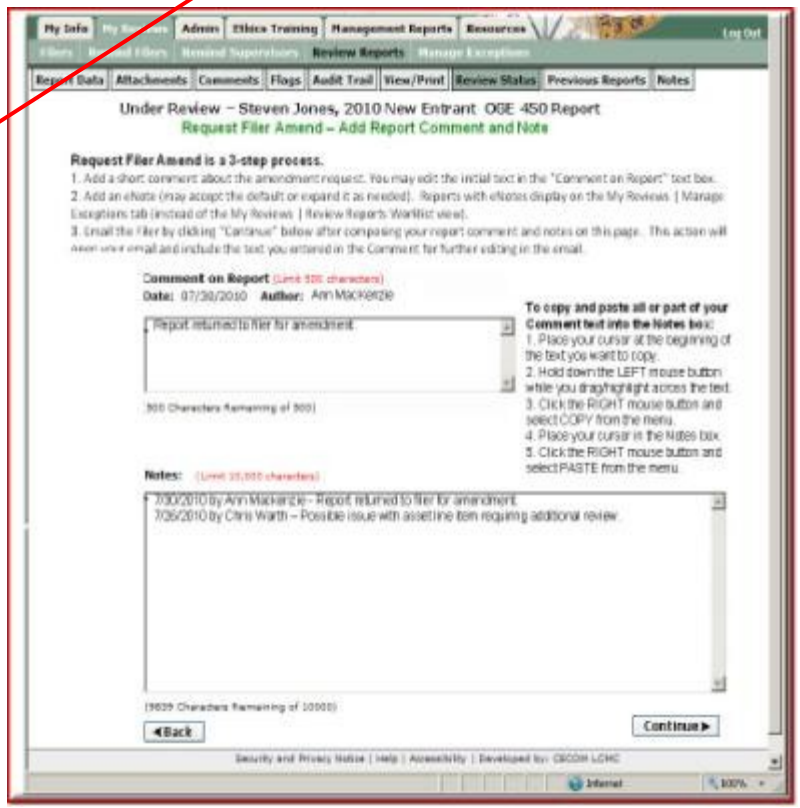
- The End Initial Review feature helps Ethics Officials demonstrate compliance with OGE's 60-day report review rule.
- Not necessary to use when report is Complete within 60 days of Filer's eSign.



Request Filer Amend

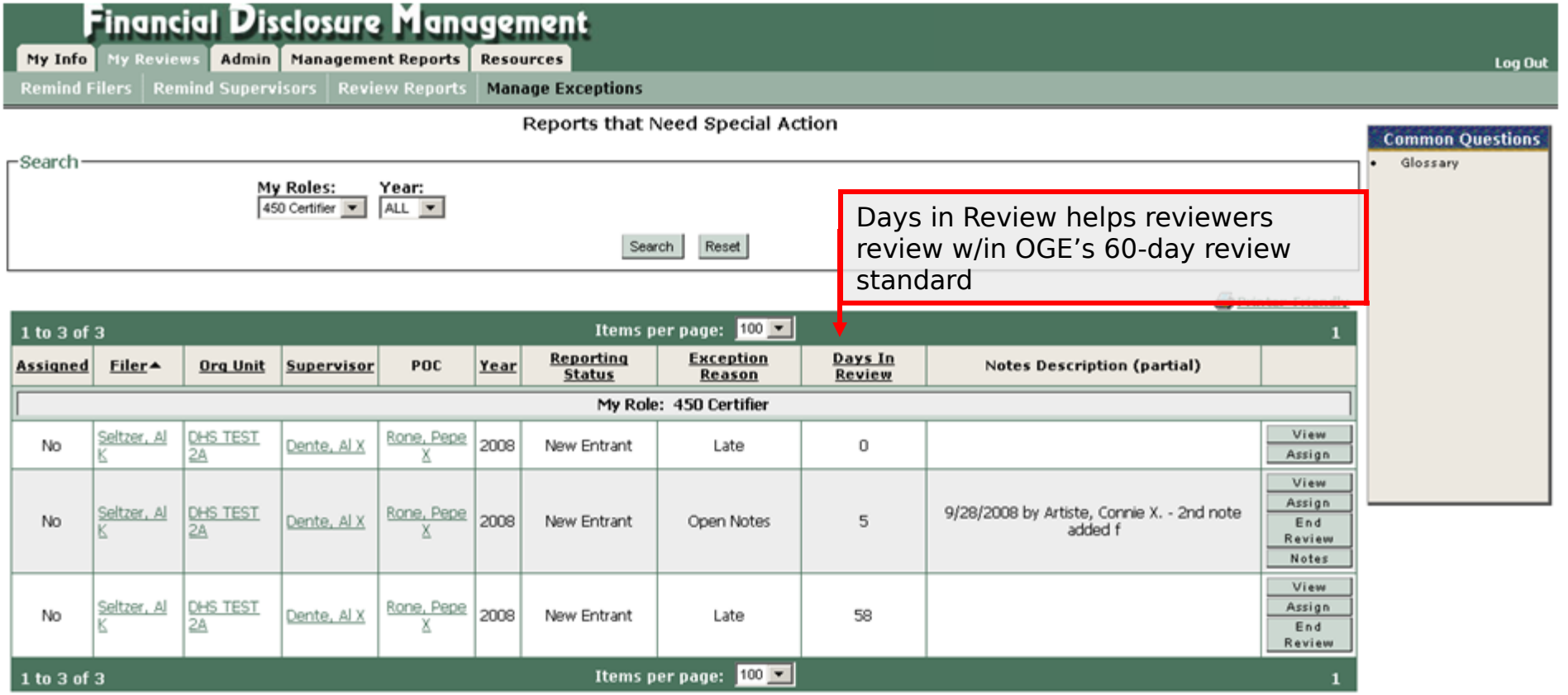
Review Status" screen has new action button: "Request Filer Amend"




Under Review – Steven Jones, 2010 New Entrant OGE 450 Report
Request Filer Amend – Add Report Comment and Note
Request Filer Amend is a 3-step process.
Comment on Report
Date: 07/30/2010 Author: Ann Mackenzie
Report returned to filer for amendment
To copy and paste all or part of your Comment text into the Notes box:
1. Place your cursor at the beginning of the text you want to copy.
2. Hold down the LEFT mouse button while you drag/highlight across the text.
3. Click the RIGHT mouse button and select COPY from the menu.
4. Place your cursor in the Notes box.
5. Click the RIGHT mouse button and select PASTE from the menu.
Notes:
7/30/2010 by Ann Mackenzie - Report returned to filer for amendment
7/26/2010 by Chris Warth – Possible issue with asset line item requiring additional review
◄Back
Continue►

FDM 450 My Reviews | Manage Exceptions

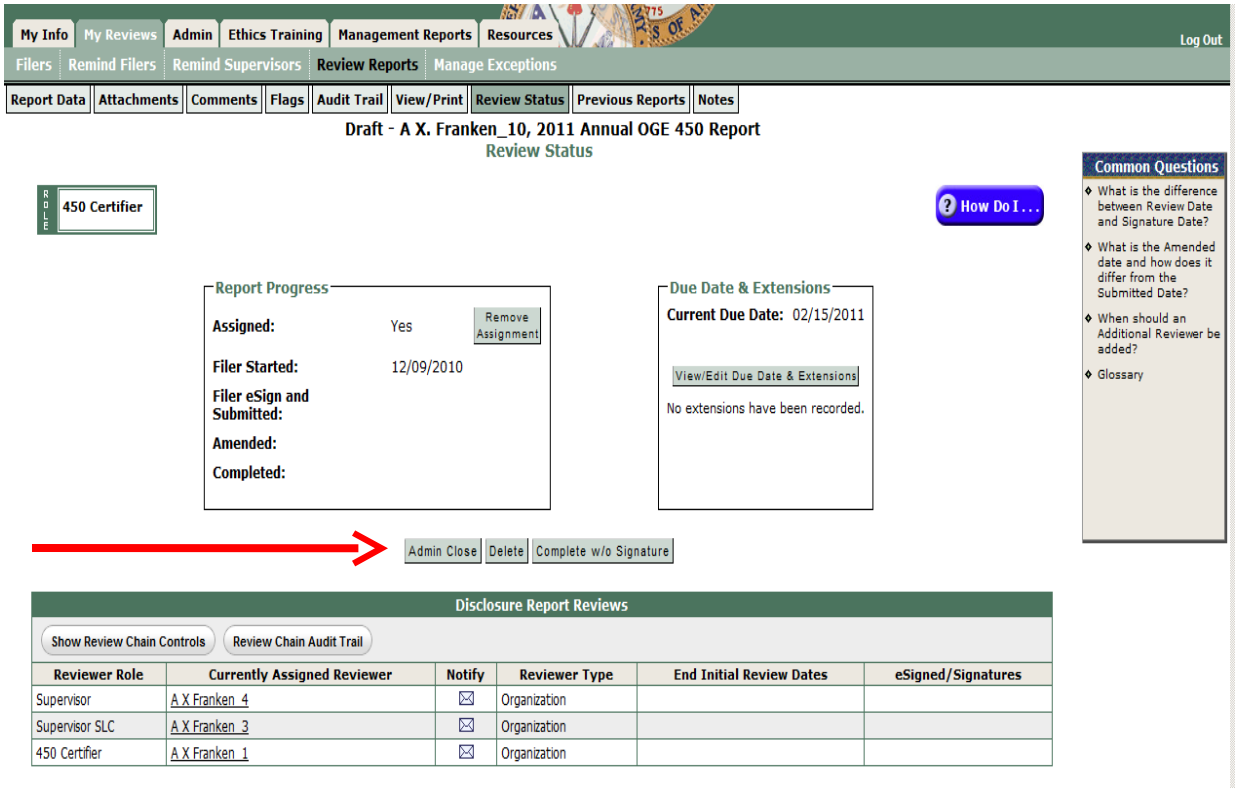
Shows you at a glance those Filers w/reports assigned that are late (after due date/extensions) or you/your EC, Paralegal Assistant added a note indicating something more needed on the report



Admin Close a Report

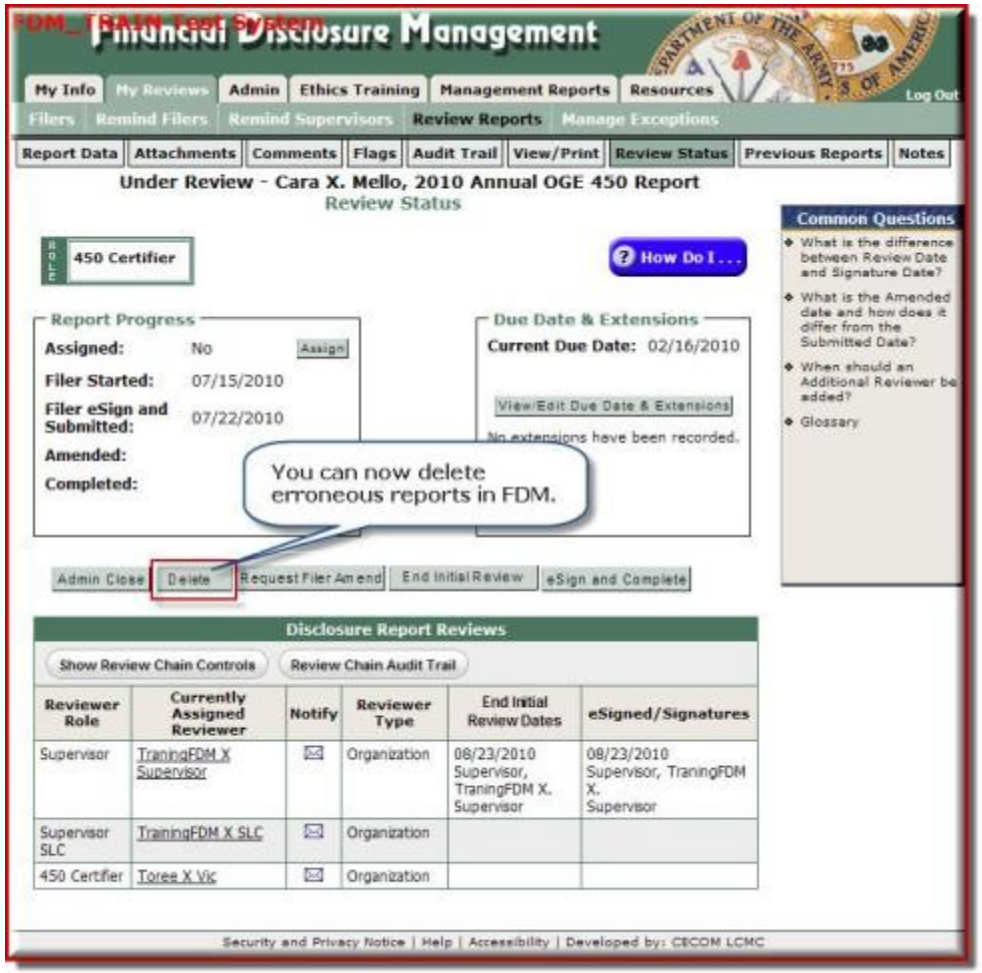
- Where: **Review Status** screen of an unfinished report
- Why: unneeded, erroneous report you are not ready to “Delete”
- Reference: https://www.fdm.army.mil/documents/QRC_Administratively_Close_Report.pdf

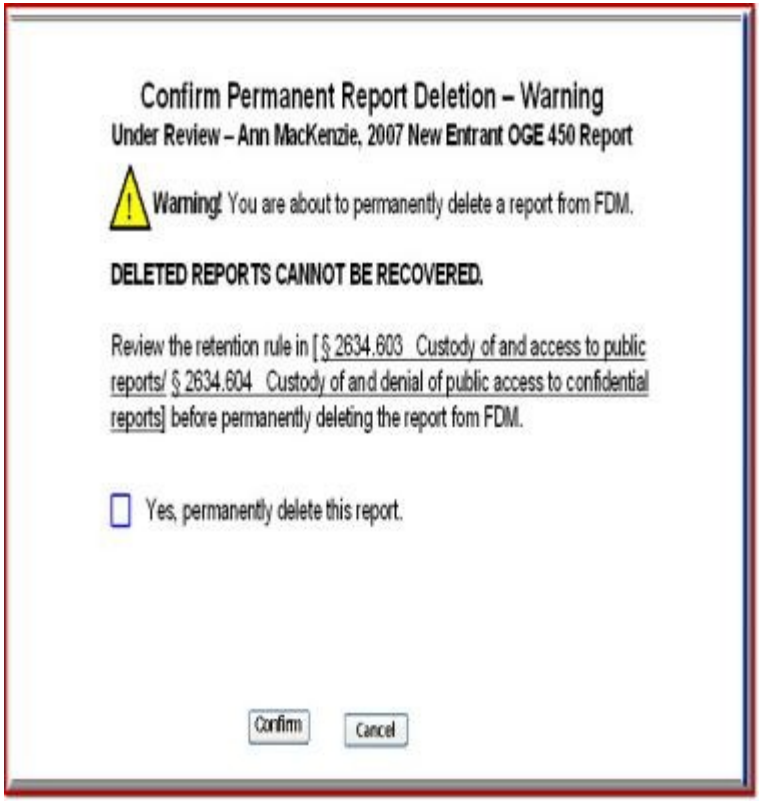
- View a report and click the “Review Status” tab to display the “**Admin Close**” action button
- Click it to retain the report data, but stop processing the report
- Filer may use Admin closed reports to prepopulate



Permanent Delete

elete feature on Report “Review Status” screen until Report “Complete




Confirm Permanent Report Deletion – Warning
Under Review – Ann MacKenzie, 2007 New Entrant OGE 450 Report
Warning! You are about to permanently delete a report from FDM.
DELETED REPORTS CANNOT BE RECOVERED.
Review the retention rule in [§ 2634.603 Custody of and access to public reports/ § 2634.604 Custody of and denial of public access to confidential reports] before permanently deleting the report fom FDM.
Yes, permanently delete this report.
Confirm
Cancel

Warning popup – Check & Click **Confirm** to delete

Reviewing OGE 450s - Summary

- Visit the FDM Learning Center for:
  - Video: Reviewing an OGE 450
    https://www.fdm.army.mil/learningCenter/tutorials.htm
  - Quick Reference: Reviewing an OGE 450
    https://www.fdm.army.mil/learningCenter/documentation.htm

- Report “Compare” view when Filer has two or more OGE 450s in FDM – *highlights Filer’s changes*
- End Initial Review on those reports that you will not complete within 60 days.
- Remind Supervisors to review (**My Reviews | Remind Supervisors** tab)
- Check the FDM 450 EC User Guide & FDM 450 SOP for useful report review checklists (available on https://www.fdm.army.mil/helpSupport/resources.htm)

Management Reports

- Where: **Management Reports** tab
- Why: monitor report processing
- Reference: https://www.fdm.army.mil/documents/QRC_FDM_Management_Reports.pdf

- Disclosure
  - Registered Filers
  - Details
  - Filers with no reports
- Administration (Supervisors)
- Currently Overdue (OGE 450 only)

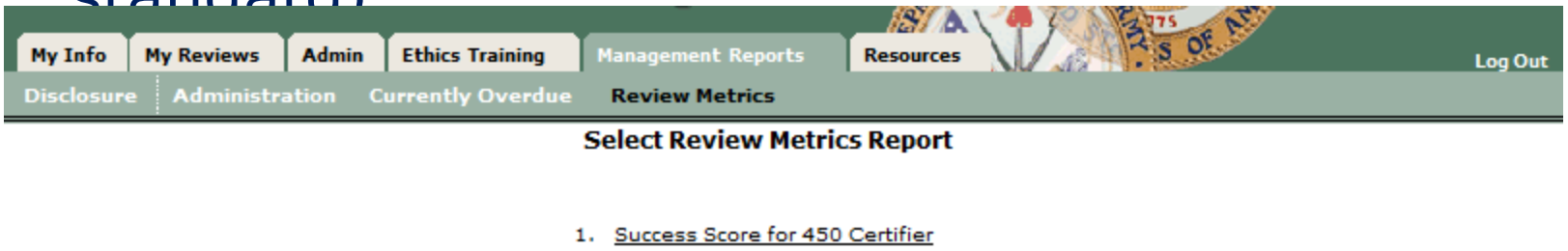
Management Reports

- Watch a short video on how to track report progress and use FDM's Remind Filer and Remind Supervisor tools to prompt users to act: https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus/SLCStatus.html
- Slides for video: https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus.ppt
- Management Reports Quick Reference: https://www.fdm.army.mil/documents/QRC_FDM_Management_Reports.pdf

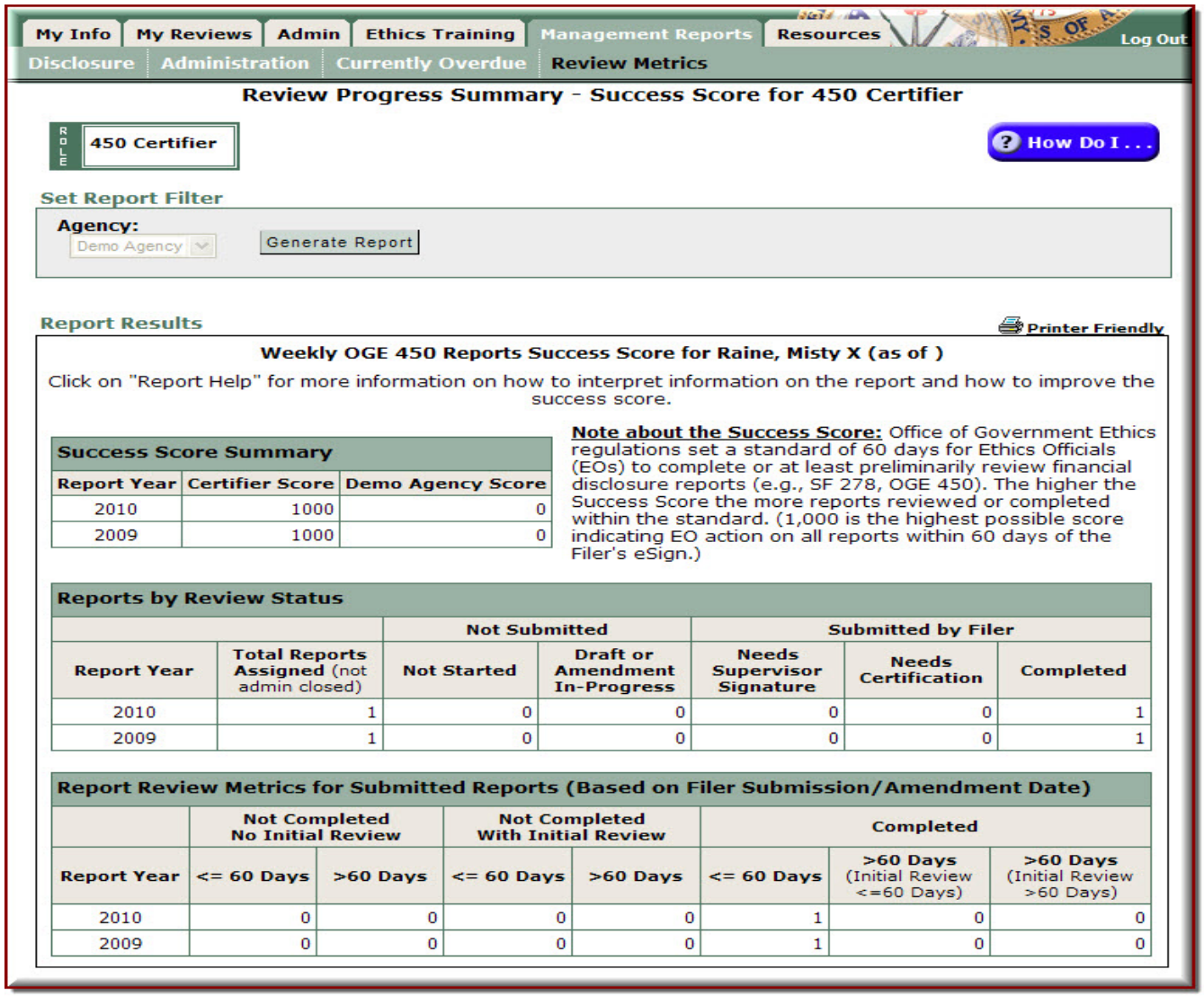
"Success Score"

FDM Best Practice

- A Management Report
  - Measures how well 450 Certifier does against the OGE 60-day review rule
  - A score of 1,000 indicates the Ethics Official has initially reviewed or completed all eligible reports with in 60 days of the Filer's submission (thus meeting the OGE review standard)



"Success Score"



My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Disclosure | Administration | Currently Overdue | Review Metrics

Review Progress Summary - Success Score for 450 Certifier

ROLE: 450 Certifier

How Do I . . .

Set Report Filter

Agency: Demo Agency

Generate Report

Report Results

Printer Friendly

Weekly OGE 450 Reports Success Score for Raine, Misty X (as of)

Click on "Report Help" for more information on how to interpret information on the report and how to improve the success score.

Success Score Summary

Report Year	Certifier Score	Demo Agency Score
2010	1000	0
2009	1000	0

Note about the Success Score: Office of Government Ethics regulations set a standard of 60 days for Ethics Officials (EOs) to complete or at least preliminarily review financial disclosure reports (e.g., SF 278, OGE 450). The higher the Success Score the more reports reviewed or completed within the standard. (1,000 is the highest possible score indicating EO action on all reports within 60 days of the Filer's eSign.)

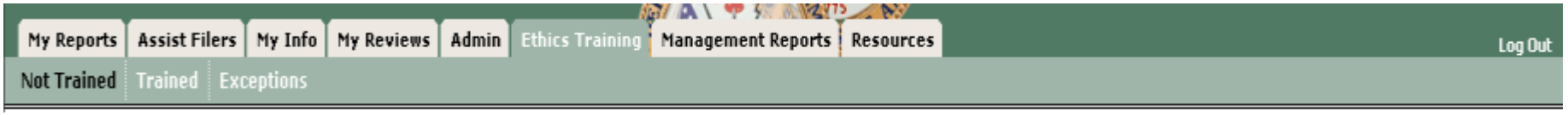
Reports by Review Status

		Not Submitted		Submitted by Filer		
Report Year	Total Reports Assigned (not admin closed)	Not Started	Draft or Amendment In-Progress	Needs Supervisor Signature	Needs Certification	Completed
2010	1	0	0	0	0	1
2009	1	0	0	0	0	1

Report Review Metrics for Submitted Reports (Based on Filer Submission/Amendment Date)

	Not Completed No Initial Review		Not Completed With Initial Review		Completed		
Report Year	<= 60 Days	>60 Days	<= 60 Days	>60 Days	<= 60 Days	>60 Days (Initial Review <=60 Days)	>60 Days (Initial Review >60 Days)
2010	0	0	0	0	1	0	0
2009	0	0	0	0	1	0	0

Record Ethics Training in FDM



- Legal official roles may notify Filers & record Ethics Training for Filers
- Tabs:
  - Not Trained
  - Trained
  - Exceptions
- Use is optional; info in FDM will be available for SLC input to annual Agency report to OGE
- Print 2012 Training Record ***BEFORE*** 30 Dec 2012
  - Ethics Training | Trained
  - Ethics Training | Not Trained

Quick Reference:
https://www.fdm.army.mil/documents/QRC_Manage_Ethics_Training.pdf

Summary

- Tasks
  - Pre-Annual Filing Season (NLT 30 Dec)
    - Review existing FDRs in FDM 450
    - Remove old assigned, not started Annuals
  - Season Start (1 Jan) – Remind Filers to File
  - Post Annual Filing Deadline (mid-Feb) – Remind Late Filers
  - Registering New FDM Users – Assign 450
- Review Reports *timely*; "*End Initial Review*"
  - Read the FDM 450 Certifier Quick Start (in the FDM 450 Resources area: https://www.fdm.army.mil/helpSupport/resources.htm
    - Read the FDM 450 Certifier Frequent Task How to Guide, https://www.fdm.army.mil/PM_Reference_Docs/450CertifierFDMTasks.doc
  - Scan the FDM 450 SOP & FDM 450 User Guide
- FDM Help Desk: 443.861.8679, DSN 848.8679, e-mail monm-secfdmspt@conus.army.mil
- FDM Webmaster: FDMWebMaster